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U.S. ENVIRONMENTAL PROTECTION AGENCY  
COLLECTION OF 1997 IRON AND STEEL INDUSTRY DATA  
PART B: FINANCIAL AND ECONOMIC INFORMATION



Form Approved  
OMB Control No. 2040-0193  
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The public reporting and recordkeeping burden for this survey (Parts A and B) is estimated to average 250 hours. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid Office of Management and Budget (OMB) control number.

Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Office of Policy, Planning, and Evaluation, U.S. Environmental Protection Agency, Regulatory Information Division, MC 2137, 401 M St., S.W., Washington, DC 20460. Include the OMB control number in any correspondence. Do not send the completed survey to this address.



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COLLECTION OF 1997 IRON AND STEEL INDUSTRY DATA**

**PART B: FINANCIAL AND ECONOMIC INFORMATION**

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# INTRODUCTION

The U.S. Environmental Protection Agency (EPA) is conducting a survey of the Iron and Steel Industry as part of its effort to review and revise, as appropriate, effluent limitations guidelines and standards for this industry. This survey requests data on sites engaged in iron or steel manufacturing, forming, and finishing. Sites engaged in coke manufacturing are also included. The technical data collected in Part A of this survey will be used to determine the production rates of industry, use of water for processes, rates of wastewater generation, and the practices of wastewater management, treatment, and disposal. The financial and economic data collected in Part B of this survey will be used to characterize the economic status of the industry and to estimate the possible economic impacts of wastewater regulations.

## COMPLETION OF THE SURVEY

The survey is divided into two parts: Part A: Technical Information, and Part B: Financial and Economic Information. Each part has its own general instructions and certification statement. The parts are divided into the following sections:

### PART A: TECHNICAL INFORMATION

- SECTION 1: GENERAL SITE INFORMATION
- SECTION 2: MANUFACTURING PROCESS INFORMATION
- SECTION 3: IN-PROCESS AND END-OF-PIPE WASTEWATER TREATMENT AND POLLUTION PREVENTION INFORMATION
- SECTION 4: WASTEWATER OUTFALL INFORMATION

### PART B: FINANCIAL AND ECONOMIC INFORMATION

- SECTION 1: SITE IDENTIFICATION
- SECTION 2: SITE FINANCIAL INFORMATION
- SECTION 3: BUSINESS ENTITY FINANCIAL INFORMATION
- SECTION 4: CORPORATE PARENT FINANCIAL INFORMATION

Each section should be completed by the person(s) most knowledgeable about the information requested. All sites must have the corporate official or designee responsible for directing or supervising Part B: Financial and Economic Information of the survey response sign the Certification Statement (located on page iii) to verify and validate the information provided, or to certify that this site does not engage in iron or steel manufacturing, forming, or finishing, or coke manufacturing.

EPA has prepared this survey to be applicable to a variety of sites; therefore, not all of the questions will apply to each site. Complete each applicable item in the survey. In the event that exact data are not available, provide best financial estimates and note the methods that were used to make the estimates on the Comments page(s) located at the end of each section. General instructions are provided on page v, and additional instructions are provided with each question. A complete set of definitions for Part B can be found in the Definitions Section, starting on page vi.

If you would like to request a WordPerfect 5.1 version of the survey instrument, you must do so **in writing** within 30 days of receipt of this survey (see address under **WHERE TO RETURN THE SURVEY** on page iii). You are responsible for submitting a properly formatted hard copy of the survey by the due date which matches this survey's format. The electronic formatting of this survey is complex and may require more experienced clerical support. **Improperly formatted survey responses will be returned to the respondent!**

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### EPA Iron and Steel Survey Help Lines

#### **Information about Part A: Technical Information**

Eastern Research Group, Inc. . . . . (800) 357-7075  
Internet Electronic Mailing Address . . . . . steel\_helpline@erg.com

#### **Information about Part B: Financial and Economic Information**

Eastern Research Group, Inc. . . . . (888) 308-9455  
Internet Electronic Mailing Address . . . . . steel\_partb@erg.com

## **AUTHORITY**

This survey is conducted under the authority of Section 308 of the Clean Water Act (Federal Water Pollution Control Act, 33 U.S.C. Section 1318). **All sites that receive this survey must respond to it.** Return all portions of the survey to the EPA **within 180 days** of receiving it. Late filing or failure to comply with these instructions may result in criminal fines, civil penalties, and other sanctions, as provided by law.

If you wish to request an extension for your site or discuss a delivery schedule for a company with multiple sites, you must do so **in writing** within 30 days of receipt of this survey. Send written requests to:

Mr. George Jett  
U.S. Environmental Protection Agency (4303)  
401 M Street, SW  
Washington, DC 20460

Extension requests will be evaluated on a case-by-case basis. Submittal of an extension request to EPA does **not** alter the due date of your survey.

Some sites will also receive a Production, Analytical Data, and/or Wastewater Treatment Capital Cost Follow-Up Survey. Each of these surveys will be sent to approximately 100 sites. These sites will be chosen based on responses to this survey. Your site may receive one or all of these follow-up surveys. EPA estimates the average burden for each of these surveys at about 10 hours. Responses to the follow-up surveys will be due **within 45 days** of receipt.

## **PROVISIONS REGARDING DATA CONFIDENTIALITY**

Regulations governing the confidentiality of business information are contained in the Code of Federal Regulations (CFR) at Title 40 Part 2, Subpart B. You may assert a business confidentiality claim covering part or all of the information you submit, other than effluent data, as described in 40 CFR 2.203(b):

*"(b) Method and time of asserting business confidentiality claim. A business which is submitting information to EPA may assert a business confidentiality claim covering the information by placing on (or attaching to) the information, at the time it is submitted to EPA, a cover sheet, stamped or typed legend, or other suitable form of notice complying language such as 'trade secret,' 'proprietary,' or 'company confidential.' Allegedly confidential portions of otherwise nonconfidential documents should be clearly identified by the business, and may be submitted separately to facilitate identification and handling by EPA. If the business desires confidential treatment only until a certain date or until the occurrence of a certain event, the notice should so state."*

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**If no business confidentiality claim accompanies the information when it is received by EPA, EPA may make the information available to the public without further notice.**

You may claim as confidential all information included in the response to a question by checking the Confidential Business Information (CBI) box next to each question number for which responses contain CBI. Alternatively, all questions in this survey marked with a CBI check box may be claimed confidential now by checking the box at the end of this paragraph. If you do not check this box, any individual response where "CBI" is **NOT** checked will be considered nonconfidential. Note that you may be required to justify any claim of confidentiality at a later time. Note also that plant effluent data are not eligible for confidential treatment, pursuant to Section 308(b) of the Clean Water Act, and thus will be treated as nonconfidential even if the "all CBI" box is checked.

**All Eligible Data are CBI G**

Information covered by a claim of confidentiality will be disclosed by EPA only to the extent, and by means of, the procedures set forth in 40 CFR Part 2, Subpart B. In general, submitted information protected by a business confidentiality claim may be disclosed to other employees, officers, or authorized representatives of the United States concerned with implementing the Clean Water Act.

Information covered by a claim of confidentiality will be made available to EPA contractors under EPA Contract Numbers 68-C6-0044, 68-C6-0022, and 68-C4-0046 to enable the contractors to perform the work required by their contracts with EPA. All EPA contracts provide that contractor employees use the information only for the purpose of performing the work required by their contracts and will not disclose any CBI to anyone other than EPA without prior written approval from each affected business or from EPA's legal office. Any comments you may wish to make on this issue must be submitted in writing along with your completed survey.

## **WHERE TO RETURN THE SURVEY**

After completing the survey and certifying the information that it contains, use the enclosed mailing label to mail the completed survey to:

U.S. Environmental Protection Agency  
Collection of 1997 Iron and Steel Industry Data  
c/o Eastern Research Group, Inc.  
14555 Avion Parkway, Suite 200  
Chantilly, VA 20151-1102

**Retain a copy of the completed survey, including attachments.** EPA will review the information submitted and may request your cooperation in answering follow-up questions, if necessary, to complete analyses.

## **CERTIFICATION STATEMENT FOR PART B**

Is your site engaged in iron or steel manufacturing, forming, or finishing, or coke manufacturing?

**G** Yes (Complete Part B: Financial and Economic Information of the survey; sign Certification # 1 below when Part B has been completed)

**G** No (Sign Certification #2 below and return the following to EPA at the given address: pages iii and iv and the cover page of Part B containing the site address label)

When Part B of the survey has been completed or "No" has been checked above, the individual responsible for directing or supervising the preparation of this part must read and sign the appropriate Certification Statement listed below. The certifying official must be a responsible corporate official or his/her authorized representative.

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**Certification Statement #1**

*I certify under penalty of law that Part B: Financial and Economic Information of the enclosed survey response was prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gathered and evaluated the information submitted. The information submitted is, to the best of my knowledge and belief, accurate and complete. In those cases where we did not possess the requested information, we provided best financial estimates in response to the questions. We have to the best of our ability indicated what we believe to be company confidential business information as defined under 40 CFR Part 2, Subpart B. We understand that we may be required at a later time to justify our claim in detail with respect to each item claimed confidential. I am aware that there are significant penalties for submitting false information, including the possibility of fines and imprisonment as explained in Section 308 of the Clean Water Act.*

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name of Certifying Official

( \_\_\_\_\_ )  
Telephone Number

\_\_\_\_\_  
Title of Certifying Official

**Certification Statement #2**

*I certify under penalty of law that this site does not engage in iron or steel manufacturing, forming, or finishing, or coke manufacturing. I am aware that there are significant penalties for submitting false information, including the possibility of fines and imprisonment as explained in Section 308 of the Clean Water Act.*

If you are certifying that your site is not engaged in iron or steel forming or finishing, indicate the classification of your site.

- Warehouse
- Office
- Distribution
- Other (specify): \_\_\_\_\_

\_\_\_\_\_  
Signature of Certifying Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name of Certifying Official

( \_\_\_\_\_ )  
Telephone Number

\_\_\_\_\_  
Title of Certifying Official

## GENERAL INSTRUCTIONS

**Complete this survey for your entire site.** A site is one contiguous physical location at which manufacturing operations related to the iron and steel industry occur. These operations include, but are not limited to, cokemaking, ironmaking, steelmaking, rolling, and finishing. In some instances, a site may include property located within separate fence lines, but located close to each other. Each site in the United States iron and steel industry should have received a copy of this survey to complete. If this company has a United States iron and steel industry site that did not receive this survey, contact the Financial and Economic Information Helpline by telephone at (888) 308-9455, or by e-mail at [steel\\_partb@erg.com](mailto:steel_partb@erg.com).

**Read all question-specific instructions and definitions.** Carefully read the definitions provided, starting on page vi. The definitions are provided to assist you in completing the survey, and are consistent with EPA definitions in 40 CFR Part 420.

**Mark responses for each question.** Fill in the appropriate response(s) to each question. Please use **black ink** or **type** in the spaces provided. If the space allowed for the answer to any question is inadequate for your complete response, continue the response in the Comments area at the end of each section of the survey, cross-referencing the appropriate question number. If additional attachments are required to clarify a response, place the associated question number and your site ID number (shown on the cover page of Part B) in the top right corner of each page of the attachments.

**Answer all questions unless instructed otherwise.** The purpose of this survey is to gather all available information pertinent to coke, iron, and steel operations. Answer the questions in sequence unless you are directed to SKIP. Report only whole numbers, unless instructed otherwise. If a question is not applicable to your site, write "NA". As noted throughout the survey, you are requested to provide best financial estimates when data are not readily available. If you provide an estimate, note the methods that were used to make the estimates on the Comments page(s) at the end of each section. EPA does not intend for sites to conduct detailed studies to obtain the data. If you feel you need to conduct a detailed study, please call the Financial and Economic Information Helpline at (888) 308-9455 or e-mail your questions to [steel\\_partb@erg.com](mailto:steel_partb@erg.com).

**Some pages in this survey will likely need to be photocopied before you respond.** Indicate how many copies of the page you are submitting by completing the entry "Copy \_\_\_ of \_\_\_" in the top right corner.

**Pay close attention to the measurement units requested in each question.** Report answers in the units that are specified.

**Enter zero (0) where appropriate.** Leave entry blank only if instructed to do so (e.g., if the answer is zero, enter a zero (0)).

**Indicate information that should be treated as confidential.** Please follow the instructions given in the "Provisions Regarding Data Confidentiality" section on page ii. If information for a given question is considered confidential business information, indicate this by checking the box next to each question as desired or by checking the "All Eligible Data are CBI" box on page iii. If the "All Eligible Data are CBI" box is not checked, any question response where the corresponding "CBI" box is not checked will be considered nonconfidential.

**Include financial statements.** With your completed survey include financial statements (i.e., balance sheet, income statement, and accompanying notes) for 1995, 1996, and 1997 for the site (if available), for the business entity that owns the site (if requested), and, if applicable, for the corporate parent. The statements need not be audited, but should conform to generally accepted accounting principles (GAAP). You may submit annual reports if they contain the relevant information.

**Sign and return to EPA the Certification Statement for Part B (page iii).** Include the Certification Statement with the completed survey.

**Questions.** If you have any questions about Part B, please telephone the Financial and Economic Information Helpline, operated by Eastern Research Group, Inc. (ERG), EPA's economics contractor, at (888) 308-9455, or e-mail the Financial and Economic Information Helpline at [steel\\_partb@erg.com](mailto:steel_partb@erg.com). The helpline is staffed Monday through Friday from 9:00 AM until 5:00 PM, Eastern Standard Time.

**Retain a copy of the completed survey for your records.** EPA will review the information submitted and may request, if necessary, your cooperation in answering follow-up clarification questions to complete the data collection effort. Retain a copy of the completed survey, including attachments, in case you (i.e., the contact identified in Question 6) are contacted to clarify your responses. Also, please maintain a record of sources used to complete the questions.

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## DEFINITIONS

**Alloy.** A substance that has metallic properties and is composed of two or more chemical elements of which at least one of which is a metal.

**Alloy Steel.** Steel is classified as alloy when the maximum of the range given for the content of alloying elements exceeds one or more of the following: manganese, 1.65%; silicon, 0.60%; copper, 0.60%; or in which a definite range or a definite minimum quantity of any of the following elements is specified or required within the limits of the recognized field of constructional alloy steels: aluminum, boron, chromium (less than 10%), cobalt, lead, molybdenum, nickel, niobium (columbium), titanium, tungsten, vanadium, zirconium, or any other alloying element added to obtain a desired alloying effect.

**Appraised or Assessed Value.** An official or formal estimated value of real or personal property. "Appraised" is generally used when referring to a value estimated for insurance purposes. "Assessed" is generally used when referring to the value estimated for tax purposes.

**Bar.** Produced from ingots, blooms, or billets covering the following range: Rounds, 3/8 to 8-1/4 inches inclusive; Squares, 3/8 to 5-1/2 inches; Round cornered squares, 3/8 to 8 inches inclusive; Hexagons, 1/4 to 4-1/16 inches inclusive; Flats, 13/64 inches and over in specified thicknesses and not over 6 inches specified width.

**Billet.** A semi-finished piece of steel formed from hot rolling an ingot or a bloom. It may be square, but is never more than twice as wide as thick. Its cross-sectional area is usually not more than 36 square inches.

**Bloom.** A semi-finished piece of steel formed by casting or from hot rolling or forging of an ingot. A bloom is square or not more than twice as wide as thick. Its cross-sectional area is usually not less than 36 square inches.

**Business Entity.** The proprietorship, partnership, corporation, or other legal entity that directly owns this site. A business entity is distinguished by being able to provide complete financial statements through net income, and may own more than one site. If the site has no other ownership and has complete financial statements, there is no business entity.

**Carbon Steel.** Steel which owes its properties chiefly to various percentages of carbon without substantial amounts of other alloying elements. Steel is classified as carbon steel when no minimum content of elements other than carbon is specified or required to obtain a desired alloying effect and when the maximum content for any of the following does not exceed the percentage noted: manganese, 1.65%; silicon, 0.60%; copper, 0.60%.

**Coke.** The carbon product resulting from high temperature distillation of metallurgical coals in by-product or non-recovery coke ovens.

**Coke Breeze.** Undersized coke particles (also referred to as coke fines) recovered from coke screening operations and coke quenching stations. Coke breeze may be used as fuel in sintering operations or may be sold as a by-product.

**Cold-Rolled Products.** Flat-rolled products which have been finished by rolling without heating (at approximately ambient temperature).

**Corporate Parent.** The proprietorship, partnership, corporation, or other legal entity that is at the top of the chain of corporate ownership of the business entity.

**Direct-Reduced Iron (DRI).** Relatively pure iron produced by the reduction of iron ore below the melting point of the iron produced. DRI is used as a substitute for scrap steel in electric arc furnace steelmaking to minimize contaminant levels in the melted steel and to allow economic steel production when market prices for scrap are high.

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**Discount Rate.** The rate your site would pay to raise money for capital investments, given the site's mix of debt and equity. The discount rate is also known as the *marginal weighted average cost of capital*.

**DUNS Number.** A unique nine-digit number assigned by Dun and Bradstreet Corporation to each business establishment (i.e., each branch location, headquarters location, and single location establishment) based on the Data Universal Numbers System (DUNS).

**Effluent Limitations Guidelines and Standards.** Regulations promulgated by U.S. EPA under authority of Sections 301, 304, 306, and 307 of the Clean Water Act that set out minimum, national technology-based standards of performance for point source wastewater discharges from specific industrial categories (e.g., iron and steel manufacturing plants). Effluent limitations guidelines and standards regulations are implemented through the NPDES permit and national pretreatment programs and include the following:

- Best Practicable Control Technology Currently Available (BPT)
- Best Available Technology Economically Achievable (BAT)
- Best Conventional Pollutant Control Technology (BCT)
- New Source Performance Standards (NSPS)
- Pretreatment Standards for Existing Sources (PSES)
- Pretreatment Standard for New Sources (PSNS)

The pretreatment standards (PSES, PSNS) are applicable to industrial facilities with process wastewater discharges to publicly-owned treatment works (POTWs). The effluent limitations guidelines and new source performance standards (BPT, BAT, BCT, and NSPS) are applicable to industrial facilities with direct discharges of process wastewaters to waters of the United States.

**Extraordinary Revenues or Costs.** Extraordinary revenues or costs include items that caused total revenues or total costs to deviate significantly from historical trends. Extraordinary revenues might include revenues from selling land or other significant assets. Extraordinary costs might include capital expenditures needed to repair damage from fire, flood, or some other extraordinary event.

**Facility.** See **Site**.

**Financial Statements.** Balance sheet and income statement that were derived from accounting records according to generally accepted accounting principles (GAAP).

**Forging.** A forming operation in which a metal piece is shaped by hammering.

**Forming.** Operations in which the shape of a metal piece is changed by plastic deformation. Examples include forging, rolling, extrusion, and drawing.

**Hot-Rolled Products.** Products that are rolled to finish at temperatures above the recrystallization temperature.

**Ingot.** A large block-shaped steel casting. Ingots are intermediates from which other steel products are made. When continuous casters are not used, an ingot is usually the first solid form the steel takes after it is made in a furnace.

**Light Oil.** An unrefined, clear, yellow-brown oil with an approximate specific gravity of 0.889 produced as a by-product of by-product cokemaking operations. It contains varying amounts of coal-gas products with boiling points ranging from about 40°C to 200°C and from which benzene, toluene, xylene, and solvent naphthas are recovered.

**Pig Iron.** Iron cast into the form of small blocks that weigh about 30 kilograms (kg) each. The blocks are called pigs.

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**Piling.** A form of structural shape in one of two types: sheet piling or bearing piling. The three forms of sheet pile—straight, arch type, and zee—are used for construction of docks, breakwaters, coffer dams, etc. Bearing piles, which range from 8 inches to 14 inches in depth, are heavy, wide flange sections used for foundation and similar applications.

**Pipe.** A hollow, cylindrical product distinguished from tube by heavier wall thickness. Pipe is usually measured by its inside diameter. Tube is generally measured by outside diameter.

**Plate.** A flat-rolled finished steel product within the following size and/or weight limitations:

<u>Width</u>	<u>Thickness</u>
over 48 inches wide	0.180 inches or thicker
between 8 and 48 inches inclusive	0.230 inches or thicker
over 48 inches wide	7.53 lb/sq ft or heavier
between 8 and 48 inches inclusive	9.62 lb/sq ft or heavier

**Rod.** A hot-rolled steel section, usually round in cross-section, produced as a final product or as an intermediate product for subsequent production of wire and wire products.

**Rolling.** A forming operation that reduces the thickness of a metal piece by passing it between two or more rolls.

**Semi-Finished Steel.** Steel in the form of ingots, blooms, billets, or slabs for forging or rolling into a finished product.

**Sheet.** Steel produced in coils or in cut lengths within the following size limitations:

<u>Width</u>	<u>Thickness</u>
between 12 and 48 inches inclusive	0.1800 to 0.2299 inch
over 12 inches	0.0449 to 0.1799 inch

**Short Ton.** 2,000 pounds.

**Site.** A site is generally one contiguous physical location at which manufacturing operations related to the iron and steel industry occur. This includes, but is not limited to, cokemaking, ironmaking, steelmaking, rolling, and finishing. In some instances, a site may include property located within separate fence lines, but located close to each other. A site may also be known as a facility.

**Skelp.** Flat, hot-rolled steel strip or sheet used to manufacture welded pipe or tube products.

**Slab.** A semifinished block of steel formed from a rolled ingot or manufactured on a continuous slab casting machine, with its width at least twice its thickness.

**Stainless Steel.** A trade name given to alloy steel that is corrosion and heat resistant. The chief alloying elements are chromium, nickel, and silicon in various combinations with possible small percentages of titanium, vanadium, and other elements. By American Iron and Steel Institute (AISI) definition, a steel is called "stainless" when it contains 10% or more chromium.

**Standard Industrial Classification (SIC).** The four-digit industry classification assigned to this site by the federal government. The SIC number is used when reporting financial and other information to the U.S. Department of Commerce and other federal agencies. Sites are assigned both primary and secondary SICs.

**Steel.** A hard, tough metal composed of iron alloyed with carbon and other elements to enhance hardness and resistance to rusting.

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**Strip.** Steel produced in coils or in cut lengths within the following size limitations:

<u>Width</u>	<u>Thickness</u>
up to 3-1/2 inches inclusive	0.0255 to 0.2030 inch inclusive
between 3-1/2 and 6 inches inclusive	0.0344 to 0.2030 inch inclusive
between 6 and 12 inches inclusive	0.0449 to 0.2299 inch inclusive

**Tar.** Black, viscous organic matter removed from coke oven gas in recirculating flushing liquor systems in the gas collector mains located on top of the by-product recovery coke battery. Tar is subsequently recovered in a tar or flushing liquid decanter where most of the tar is separated from recirculating flushing liquor by gravity separation.

**Terne-Plate.** Steel sheet, hot dip coated with terne metal (10-15% tin; 85-90% lead).

**Tube.** A hollow, cylindrical product distinguished from pipe by thinner wall thickness. Tube is usually measured by its outside diameter. Pipe is generally measured by inside diameter.

**Value of Shipments.** This item covers the received or receivable net selling values, f.o.b. plant (exclusive of freight and taxes), of all products shipped, both primary and secondary, as well as all miscellaneous receipts, such as receipts for contract work performed for others, installation and repair, sales of scrap, and sales of products bought and resold without further processing. Included are all items made by or for the establishments from materials owned by it, whether sold, transferred to other plants of the same company, or shipped on consignment.

**Wire.** Small diameter steel section produced by cold drawing rod through one or more dies.

**Wire Rod.** A semi-finished product from which wire is made. It is generally of circular cross section approximately 1/4 inch in diameter.

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# SECTION 1

## SITE IDENTIFICATION

### INFORMATION CONTACT AND SITE INFORMATION

1. If the mailing address on the label is correct, check the box in 1a. If the information is not correct, check the box in 1b, and enter the correct information in the spaces below.

- a. Yes, the mailing address above is correct .....
- b. No, the mailing address above is not correct (please correct below) .....

Name of site \_\_\_\_\_

Mailing address or P.O. box \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

2. If the **street (i.e., physical) address** of the site is different from the mailing address given in Question 1, provide the street address in the space below. If the **street address** is the same as the mailing address, check the box in 2a.

- a. The street address for this site is the same as the mailing address .....
- b. The street address for this site is not the same as the mailing address .....

**List the correct address below**

Name of site \_\_\_\_\_

Street address or P.O. box \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

3. Indicate the county in which your site is located. (For Alaskan sites only, please indicate the borough. For sites in Louisiana, please indicate the parish.)

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4. Please list the street names at the intersection closest to your site.

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_
- d. \_\_\_\_\_

(For example, if two streets: **a.** Elm Street; **b.** Maple Street.)

5. What is your facility's DUNS number?

(If your site does not have a DUNS number, circle the response code for "not applicable.")

DUNS number:   -    -

Not applicable: 00

**CBI 6.** Provide the name, title, and telephone number of the individual who can answer questions concerning information provided in Part B: Economic and Financial Information.

- a. Contact name \_\_\_\_\_
- b. Contact title \_\_\_\_\_
- c. Telephone number (     ) \_\_\_\_\_
- d. When is the most convenient day and time to call?

(Circle best days)    Mon.    Tues.    Wed.    Thurs.    Fri.    Any day

\_\_\_\_\_ AM/PM (local time)

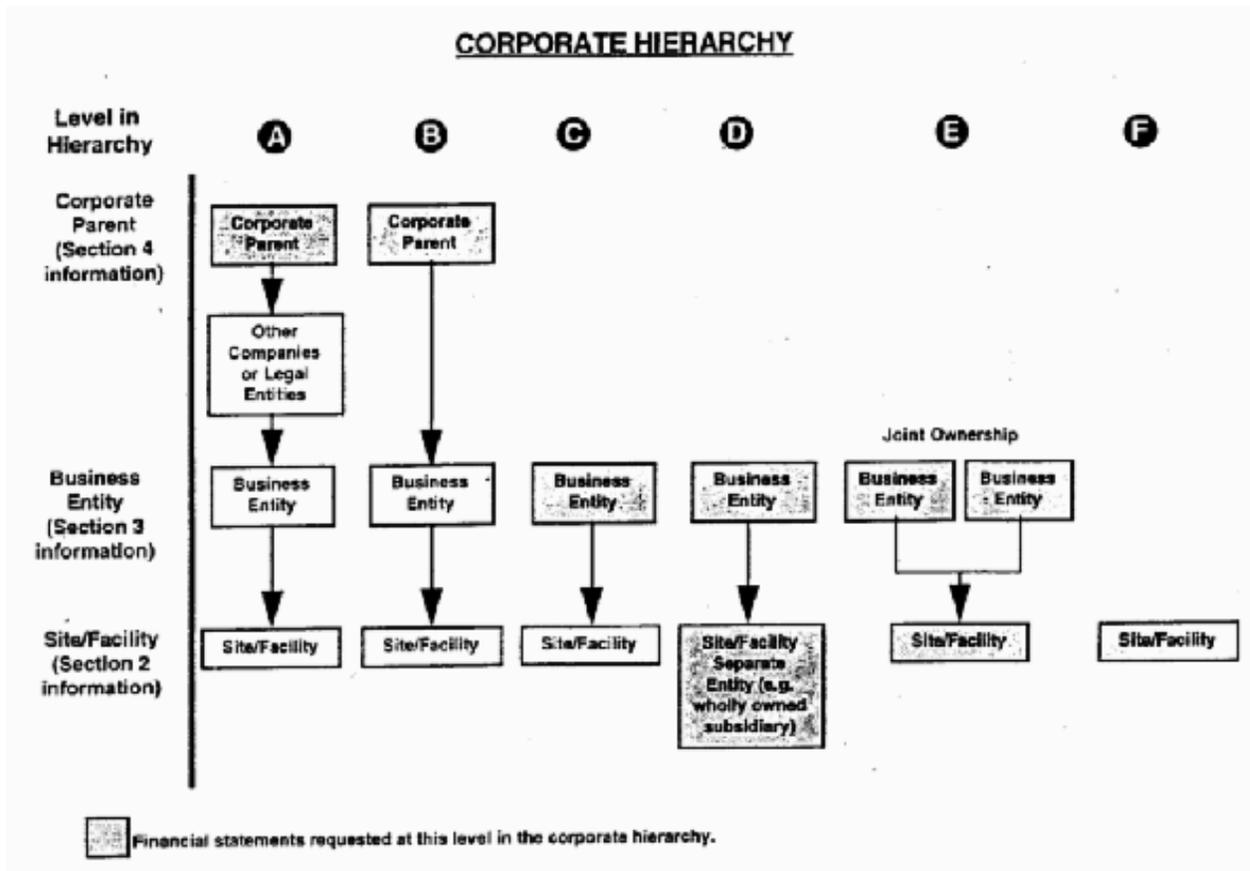
- 
- CBI 7.** Confirm the type of iron and/or steel producing site.
- a. Stand-alone Coke Plant .....
  - b. Integrated Steel Mill (iron- and steelmaking with or without cokemaking) .....
  - c. Mini-Mill .....
  - d. Specialty Mill .....
  - e. Stand-alone Finishing Plant .....
  - f. Other Stand-alone Operations - please describe \_\_\_\_\_ .....
  - g. None of the above (see below) .....

**IF NONE OF THE ABOVE (G) OR IF YOU BELIEVE THAT YOU HAVE RECEIVED THIS QUESTIONNAIRE IN ERROR, CALL THE FINANCIAL INFORMATION HELPLINE AT:**

**1-888-308-9455**

**CORPORATE HIERARCHY**

- CBI 8.** Please review the corporate hierarchy chart on the next page. Which example best describes the chain of ownership for this site?
- a. Example A .....
  - b. Example B .....
  - c. Example C .....
  - d. Example D .....
  - e. Example E .....
  - f. Example F .....



**All respondents must complete Section 2** with information for the site. If your corporate hierarchy best resembles Examples A, B, C, D, or E, you also need to complete Section 3 with information for the business entity. If your corporate hierarchy best resembles Examples A or B, you also need to complete Section 4 with information for the corporate parent.

Financial statements are balance sheets, income statements, and accompanying notes prepared according to generally accepted accounting principles (GAAP). Respondents must supply financial statements according to corporate hierarchy:

<b>Corporate Hierarchy</b>	<b>Complete Section(s)</b>	<b>Supply Financial Statements for</b>
Example A	2,3,4	Corporate Parent
Example B	2,3,4	Corporate Parent
Example C	2,3	Business Entity
Example D	2,3	Business Entity and Site
Example E	2,3	Joint Ownership
Example F	2	Site/Facility

As appropriate, Questions 44, 74, and 84 will ask you to submit financial statements.

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**CBI 9.** If you checked D, E, or F in Question 8, the corporation type that best describes this **site** is:

- a. Checked A, B, or C in Question 8 .....
  - b. Corporation (C Corporation) .....
  - c. Subchapter S corporation .....
  - d. Limited partnership .....
  - e. General partnership .....
  - f. Sole proprietor .....
  - g. Other (please describe) .....
- 
- 

**CBI 10.** If you checked D, E, or F in Question 8, is the site:

- a. Checked A, B, or C in Question 8 .....
- b. Publicly held .....
- c. Privately held .....

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## SECTION 2

### SITE FINANCIAL INFORMATION

Section 2 asks questions about the finances of this site by fiscal years 1995, 1996, and 1997. Please answer all questions unless directed to skip certain questions ("SKIP"). Please note any special assumptions made or calculations performed in answering a given question in the Comments section beginning on Page 2-18. Any other comments or explanations should be noted in the Comments section as well. Reference each comment with the relevant question and page number.

Definitions are provided on Page vi. Call the helpline at 1-888-308-9455 or e-mail the helpline at steel\_partb@erg.com if you have any questions or comments concerning the survey or your response to a specific question. The helpline operates between 9:00 AM and 5:00 PM Eastern Standard Time, Monday through Friday.

#### BACKGROUND INFORMATION

**G CBI 11.** List the primary and secondary 4-digit Standard Industrial Classification (SIC) codes assigned to this site. (See Definitions beginning on Page vi.)

- a.** Primary SIC code ..... \_\_\_\_\_
- b.** Secondary SIC codes ..... \_\_\_\_\_
- ..... \_\_\_\_\_
- ..... \_\_\_\_\_

**G CBI 12.** What is the first month of this site's fiscal year? Enter 01 for January, 02 for February, 03 for March, etc.

First month of fiscal year ..... \_\_\_\_\_

#### DISCOUNT RATE

**G CBI 13.** If you borrow money to finance capital improvements, what interest rate would you pay on such loans?

Interest rate ..... \_\_\_\_\_%

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**G CBI 14.** In the event that you do not borrow money to finance capital improvements, what discount rate would you use? The discount rate is the minimum rate of return on capital required to compensate debt holders and equity owners for bearing risk. If you borrow to finance capital improvements, the discount rate is equivalent to the interest rate paid on those loans.

Discount rate ..... %

**G CBI 15.** When you finance capital improvements, what is the approximate mix of debt and equity?

Debt (Question 13) ..... %

Equity (Question 14) ..... %

**G CBI 16.** Is any separate financial information maintained for this site?

**a.** Yes ..... **G**

**b.** No ..... **G**

**G CBI 17.** Are separate records for revenues and/or costs maintained for different product lines?

**a.** Yes ..... **G**

**b.** No ..... **G**

For Question 18, provide information on 1997 assets that could be reasonably converted to cash, sold, or consumed; accounts receivable; and prepaid expenses such as rent. Inventories include raw materials, supplies, and fuel. Noncurrent assets include physical items such as property, plant and equipment, long-term investments, and intangibles. **Report amounts in dollars; round to the nearest thousand.**

G CBI	1997
18. Balance Sheet Information—Assets	Site (All Operations)
<b>Current Assets</b>	
a. Value of all current assets excluding inventories	\$ _____,000
b. Value of inventories	\$ _____,000
c. Total Current Assets	\$ _____,000
<b>Noncurrent Assets</b>	
d. Land (original cost)	\$ _____,000
e. Buildings (original cost)	\$ _____,000
f. Equipment (original cost)	\$ _____,000
g. Other noncurrent assets	\$ _____,000
h. Cumulative depreciation	\$ _____,000
i. Total Noncurrent Assets (sum of d through g minus h)	\$ _____,000
<b>Total Assets</b>	
j. Total Assets (sum of c and i)	\$ _____,000

Check box if data are best estimates ..... **G**

Provide information on the 1997 liabilities for this site. Report only what is allocated to this site. **Report amounts in dollars; round to the nearest thousand.**

<b>G CBI</b>	
<b>19. Balance Sheet Information—Liabilities</b>	<b>1997</b>
a. <b>Current liabilities.</b> What were current liabilities including accounts payable, accrued expenses and taxes, and the current portion of long-term debt?	\$ _____,000
b. <b>Long-term debt.</b> What was the liability on all long-term debt such as bonds, debentures, long-term leases, and bank debt, and all other noncurrent liabilities such as deferred income taxes?	\$ _____,000
c. <b>Retained earnings.</b> What were retained earnings?	\$ _____,000
d. <b>Owner equity.</b> What was owner equity other than retained earnings?	\$ _____,000
e. <b>Sum of current liabilities, long-term debt, retained earnings, and equity.</b> If this does not equal Question 18j for 1997, explain why in the Comments section beginning on Page 2-18.	\$ _____,000

Check box if data are best estimates ..... **G**



**SITE REVENUE INFORMATION**

Questions 22 through 25 request information on the revenues generated at the site for the years 1995, 1996, and 1997. If the site was not in operation in a particular year, check the box for that year and leave the appropriate column blank. **Report amounts in dollars; round to the nearest thousand.**

	1995 (\$) Not in Operation.....G (Leave column blank)	1996 (\$) Not in Operation.....G (Leave column blank)	1997 (\$) Not in Operation.....G (Leave column blank)
G CBI 22. What was the total value of coke, coke by-product, iron, and steel shipments from the site in each fiscal year? (Include the value of shipments exported or sent to other sites under the same ownership, if any.)	\$ _____,000	\$ _____,000	\$ _____,000
G CBI 23. What was the total value of coke, coke by-product, iron, and steel shipments exported in each fiscal year? (This amount should be included in the entry for Question 22.)	\$ _____,000	\$ _____,000	\$ _____,000
G CBI 24. What was the total of all other revenues for the site in each fiscal year?	\$ _____,000	\$ _____,000	\$ _____,000
G CBI 25. What were the total site revenues in each fiscal year?	\$ _____,000	\$ _____,000	\$ _____,000

Check box if data are best estimates ..... G









**G CBI**

**32. What were the total production costs incurred at the site for each category in each fiscal year?**

Report by product category and for the entire site: include all manufacturing and other direct costs like direct materials and direct labor, and indirect costs that were either put into production, used as operating supplies, or used in repair and maintenance. Report total delivered costs after discounts, including freight of materials actually consumed or put into production during the year. Also include freight of products shipped if these revenues are included in the site revenues (Question 25). Include purchases, cost of interplant transfers to the site, and withdrawal from inventories. Nonmanufacturing costs are defined in Question 34. **Report amounts in dollars; round to the nearest thousand.**

Product Category	1995 (\$)	1996 (\$)	1997 (\$)
	Not in Operation.....G (Leave column blank)	Not in Operation.....G (Leave column blank)	Not in Operation.....G (Leave column blank)
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
___	\$ _____,000	\$ _____,000	\$ _____,000
<b>Total Production Costs</b> (sum of all product category entries)	\$ _____,000	\$ _____,000	\$ _____,000

Check box if data are best estimates ..... **G**

**G CBI 33.** Do the costs of coke production given in Question 32 include all or some of maximum achievable control technology (MACT, December 1995 limits) or lowest achievable emissions rate (LAER, January 1998 limits) costs?

- Yes ..... **G**
- No ..... **G**
- Not applicable ..... **G**

**G CBI**

**34. What nonproduction costs were incurred by this site in each fiscal year?** Include all nonmanufacturing costs such as depreciation, rent, nonproduction utilities, selling costs, administration, general expenses, research and development, interest expense, and federal, state, and local taxes or portion thereof normally allocated to the site. **Report amounts in dollars; round to the nearest thousand.**

	<b>1995 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>	<b>1996 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>	<b>1997 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>
<b>a. Depreciation on buildings, plant, equipment, and machinery at the site</b>	\$ _____,000	\$ _____,000	\$ _____,000
<b>b. Corporate overhead</b>	\$ _____,000	\$ _____,000	\$ _____,000
<b>c. Other nonmanufacturing costs</b>	\$ _____,000	\$ _____,000	\$ _____,000
<b>d. Sum of all nonmanufacturing costs (a+b+c)</b>	\$ _____,000	\$ _____,000	\$ _____,000
<b>e. List, in descending order of magnitude, the major components of corporate overhead (item b) and other nonmanufacturing costs (item c) reported above.</b>			
1.	3.	5.	
2.	4.	6.	

Check box if data are best estimates ..... **G**

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G **CBI 35.** Are nonmanufacturing costs allocated to product categories?

- a. Yes ..... G
- b. No ..... G

G **CBI 36.** What is the method of allocation?

- a. Not allocated ..... G
- b. By percentage of quantity produced ..... G
- c. By percentage of manufacturing costs ..... G
- d. Other ..... G

Please explain: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**SITE INCOME STATEMENT INFORMATION**

37. Provide income statement information for your entire site for 1995, 1996, and 1997. If the site was not in operation in a particular year, check the box for that year and leave the appropriate column blank.  
**Report amounts in dollars; round to the nearest thousand.**

<b>G CBI</b>			
<b>37. Site Income Statement</b>			
	<b>1995 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>	<b>1996 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>	<b>1997 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>
<b>a. Total revenue (should be the same as Question 25)</b>	\$ _____,000	\$ _____,000	\$ _____,000
<b>b. Costs and expenses (sum of Questions 32 and 34d)</b>	\$ _____,000	\$ _____,000	\$ _____,000
<b>c. Earnings before interest and taxes (subtract b from a)</b>	\$ _____,000	\$ _____,000	\$ _____,000

38. Provide income statement information on this site's finances for 1995, 1996, and 1997. If the site was not in operation in a particular year, check the box for that year and leave the appropriate column blank. If interest and taxes are not allocated from the corporate level to the site via the business entity, check the appropriate box and leave the entry blank. **Report amounts in dollars; round to the nearest thousand.**

<b>G CBI</b>			
<b>38. Financial Income Statement</b>			
	<b>1995 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b> <b>Records Not Kept at.....G</b> <b>Site Level</b>	<b>1996 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b> <b>Records Not Kept at.....G</b> <b>Site Level</b>	<b>1997 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b> <b>Records Not Kept at.....G</b> <b>Site Level</b>
<b>d. Interest expenses.</b> What were interest expenses at this site?	\$ _____,000	\$ _____,000	\$ _____,000
<b>e. Income tax.</b> What were federal, state, and local income taxes?	\$ _____,000	\$ _____,000	\$ _____,000
<b>f. Extraordinary items.</b> Describe in Comments section beginning on Page 2-18.	\$ _____,000	\$ _____,000	\$ _____,000
<b>g. Net income.</b> What was net income? If this is not equivalent to the difference between a minus b, d, e, and f, please explain why in the Comments section beginning on Page 2-18.	\$ _____,000	\$ _____,000	\$ _____,000

**ASSESSED VALUE**

**G CBI 39.** What was the property tax assessment or appraised value for land, buildings, and equipment at this site? Report amounts in dollars; round to the nearest thousand.

<b>Assessed Value</b>	<b>1997</b>
<b>a.</b> Land	\$ __, __, __, 0 0 0
<b>b.</b> Buildings	\$ __, __, __, 0 0 0
<b>c.</b> Equipment and Machinery	\$ __, __, __, 0 0 0
<b>d.</b> Total Value (sum of items a through c)	\$ __, __, __, 0 0 0

**G CBI 40.** On what percentage of market value is the tax assessment or appraised value based?

Percentage of market value ..... %

**MARKET VALUE OF EQUITY**

**G CBI 41.** If you checked F in Question 8 and you checked B in Question 10,

What was the number of shares outstanding at the close of fiscal year 1997 (all classes) .....

What was the market price per share (weighted average if more than one class of stock) at the close of fiscal year 1997 ..... \$ .....

Checked A, B, C, D, or E in Question 8 and/or checked C in Question 10 ..... **G**

**PAYMENT TO LOCAL GOVERNMENTS**

**G CBI 42.** What was the total value of property tax payments made to local government(s) in 1997?

Payments to local government(s) ..... \$ .....

**EMPLOYMENT**

**G CBI 43.** Please list the average number of employees (full- and part-time) and the total number of labor hours worked at this site in each of the following labor categories for **fiscal year 1997**. To estimate the total labor hours, include overtime, vacation, and paid holidays, but do not include overtime as time-and-a-half. Estimates to the nearest 1,000 hours are acceptable. If employment cannot be divided between production and nonproduction employment, list the total in C and mark "NA" in the appropriate areas of A and B.

<b>Employment Type</b>	<b>Average Number of Employees</b>	<b>Total Number of Employee Hours</b>
<b>a.</b> Total production employment (part-time and full-time) (all operations)	____/____	____/____,000
<b>b.</b> Total nonproduction employment	____/____	____/____,000
<b>c.</b> Total employment	____/____	____/____,000

**SITE FINANCIAL STATEMENTS**

**G CBI 44.** If you checked hierarchy type **D, E, or F** for Question 8 (Page 1-3), include copies of this site's end-of-year financial statements for 1995, 1996, and 1997 with your completed questionnaire. These may be accountant reports, annual reports, and/or 10-K forms, and **MUST** include both an income statement and balance sheets for this site. These statements need not be audited, but should conform to generally accepted accounting principles (GAAP). In all cases, **INCLUDE THE NOTES TO THE FINANCIAL STATEMENTS.**

In the table below, please indicate with a check the type of statement included.

<b>1995</b> ✓	<b>1996</b> ✓	<b>1997</b> ✓	<b>Financial Statement</b>
			Accountant Report
			Annual Report
			10-K Form
			Other (please describe)
			_____
			_____

**IF YOU CHECKED A, B, C, D, OR E IN QUESTION 8 (PAGE 1-3), PLEASE PROCEED TO SECTION 3.**

**IF YOU CHECKED F IN QUESTION 8 (PAGE 1-3), YOU HAVE COMPLETED PART B OF THE QUESTIONNAIRE. DO NOT PROCEED TO SECTION 3. MAKE SURE YOU HAVE COMPLETED AND SIGNED THE CERTIFICATION FORM (PAGE iii) AND RETURN THIS QUESTIONNAIRE AND ALL ADDITIONAL INFORMATION TO EPA.**





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## SECTION 3

### BUSINESS ENTITY FINANCIAL INFORMATION

The purpose of Section 3 is to collect financial information about the business entity that owns this site. (Refer to the Corporate Hierarchy Chart on Page 1-4.)

Answer the questions in sequence, and do not leave any blank entries unless instructed otherwise. Pay close attention to the specific instructions accompanying each question, and be sure that your answers are given in the appropriate units. Definitions are provided beginning on Page vi. Use the Comments section on Page 3-12 to record any assumptions or explanations needed to understand your answer. Reference each comment with the appropriate question and page number.

Call the helpline at 1-888-308-9455 or e-mail the helpline at *steel\_partb@erg.com* if you have any questions or comments concerning the survey or your response to a specific question. The helpline operates between 9:00 AM and 5:00 PM Eastern Standard Time, Monday through Friday.

#### BUSINESS ENTITY GENERAL INFORMATION

**G CBI 45.** a. Is this information supplied with another questionnaire?

Yes ..... G

No ..... G

b. If the answer to the above is yes, what is the Survey ID Number of the questionnaire with the relevant business entity information?

\_\_\_\_\_

If "a" is "yes," "b" has been completed, and the survey identified in "b" has been returned to EPA, you do not need to complete Section 3.

**G CBI 46.** What is the business entity's DUNS number?

(If you do not have a DUNS number, circle the response code for "not applicable.")

DUNS number: GG-GGG-GGGG

Not applicable: 00

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**G CBI 47.** What is the name and mailing address of the business entity that operates this site?

- a. Name of business entity \_\_\_\_\_
- b. Mailing address or P.O. box \_\_\_\_\_
- c. City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

**G CBI 48.** Is this business entity a joint entity?

- Yes ..... G
- No ..... G

If the answer to the above is yes, please list all business entities involved. Complete Section 3 for the business entity listed in Question 47.

- a. Name of business entity \_\_\_\_\_
- b. Mailing address or P.O. box \_\_\_\_\_
- c. City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_
- d. Name of business entity \_\_\_\_\_
- e. Mailing address or P.O. box \_\_\_\_\_
- f. City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_
- g. Name of business entity \_\_\_\_\_
- h. Mailing address or P.O. box \_\_\_\_\_
- i. City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

**G CBI 49.** List the primary and secondary 4-digit Standard Industrial Classification (SIC) codes assigned to the business entity. (See Definitions beginning on Page vi.)

- a. Primary SIC code ..... \_\_\_\_\_
- b. Secondary SIC codes ..... \_\_\_\_\_  
..... \_\_\_\_\_  
..... \_\_\_\_\_

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**G CBI 50.** Check the organization type that best describes the **business entity**. The corporate hierarchy chart on Page 1-4 shows business entities on the second row.

- a.** Corporation (C Corporation) ..... G
  - b.** Subchapter S corporation ..... G
  - c.** Limited partnership ..... G
  - d.** General partnership ..... G
  - e.** Sole proprietor ..... G
  - f.** Other (please describe) ..... G
- 

**G CBI 51.** Is the business entity privately or publicly held?

- a.** Private ..... G
- b.** Public ..... G

**G CBI 52.** If this business entity owned or operated more than one site that conducted steelmaking or finishing, but NOT fabrication, operations (counting this site as one) in fiscal year 1997, provide the name and address of all other sites owned by the business entity conducting steelmaking operations in the table on the following page.

- a.** This is the only site owned by the business entity that conducts steelmaking or finishing operations ..... G
- b.** This business entity owns more than one site that conducts steelmaking or finishing operations ..... G

53. List any additional sites in areas to be regulated that are operated by the business entity in the United States. Provide the name and address of the site, and indicate with a check (✓) the type of site. In addition, for the site being surveyed, as well as the sites listed, indicate whether the site was constructed ("C") or acquired ("A") by the business entity. Use the first line to describe the site in this survey. If additional spaces are required, photocopy these pages BEFORE writing on them and label each copy in the space provided at the top right corner of the page.

COPY # \_\_\_ of \_\_\_

G CBI										Constructed or Acquired	
53. Site Description (Site is defined on Page viii)				Type of Site (Question 7a-f)						"C"	"A"
Site Name	City	State	ZIP	Stand-Alone Coke Plant	Integrated Steel Mill (Coke, Iron-, and Steel-making)	Mini-Mill	Specialty Mill	Stand-Alone Finishing Plant	Other Stand-Alone Operation	"C"	"A"

---

**G CBI 54.** In what year did the business entity purchase, construct, or otherwise gain control of this site?  
Year ..... 19\_\_ \_\_

**G CBI 55.** What is the first month of the business entity's fiscal year? Enter 01 for January, 02 for February, 03 for March, etc.  
First month of fiscal year ..... \_\_ \_\_

**G CBI 56.** List the top five revenue-generating product lines for the business entity in rank order. The product line with rank # 1 generates the most revenue.

- a. Rank # 1 product line \_\_\_\_\_
- b. Rank # 2 product line \_\_\_\_\_
- c. Rank # 3 product line \_\_\_\_\_
- d. Rank # 4 product line \_\_\_\_\_
- e. Rank # 5 product line \_\_\_\_\_

**DISCOUNT RATE**

**G CBI 57.** If the business entity borrows money to finance capital improvements, such as wastewater treatment equipment, what interest rate would it pay on such loans?  
Interest rate ..... \_\_ \_\_ . \_\_ %

**G CBI 58.** In the event the business entity does not borrow money to finance capital improvements, what discount rate would it use? The discount rate is the minimum rate of return on capital required to compensate debt holders and equity owners for bearing risk. If the business entity borrows to finance capital improvements, the discount rate is equivalent to the interest rate paid on those loans.  
Discount rate ..... \_\_ \_\_ . \_\_ %

**G CBI 59.** When you finance capital improvements, what is the approximate mix of debt and equity?

- a. Debt (Question 57) ..... \_\_ \_\_ . \_\_ %
- b. Equity (Question 58) ..... \_\_ \_\_ . \_\_ %

60. Provide information on the assets for the business entity for 1997. Current assets include cash and other assets that could reasonably be converted to cash, sold, or consumed; accounts receivable; and prepaid expenses such as rent. Inventories include raw materials, supplies, and fuel. Noncurrent assets include physical items such as property, plant and equipment, long-term investments, and intangibles. If the business entity was not in operation during any part of 1997, check the box for that year and leave the appropriate column blank. **Report amounts in dollars; round to the nearest thousand.**

G CBI	1997 (\$)
60. Balance Sheet Information—Assets	Not in Operation.....G (Leave column blank)
<b>Current Assets</b>	
a. Value of all current assets excluding inventories	\$ _____,000
b. Value of inventories	\$ _____,000
<b>c. Total Current Assets</b>	<b>\$ _____,000</b>
<b>Noncurrent Assets</b>	
d. Land (original cost)	\$ _____,000
e. Buildings (original cost)	\$ _____,000
f. Equipment (original cost)	\$ _____,000
g. Other noncurrent assets	\$ _____,000
h. Cumulative depreciation	\$ _____,000
<b>i. Total Noncurrent Assets</b> (sum of d through g minus h)	<b>\$ _____,000</b>
<b>Total Assets</b>	
<b>j. Total Assets</b> (sum of c and i)	<b>\$ _____,000</b>

61. Provide information on the liabilities for the business entity for 1997. Report only what is allocated to this business entity. If the business entity was not in operation during any part of 1997, check the box for that year and leave the appropriate column blank. **Report amounts in dollars; round to the nearest thousand.**

G CBI	1997 (\$)
<b>61. Balance Sheet Information—Liabilities</b>	<b>Not in Operation.....G</b> <b>(Leave column blank)</b>
<b>a. Current liabilities.</b> What were current liabilities, including accounts payable, accrued expenses and taxes, and the current portion of long-term debt?	\$ _____,000
<b>b. Long-term debt.</b> What was the liability on all long-term debt such as bonds, debentures, long-term leases, and bank debt, and all other noncurrent liabilities such as deferred income taxes?	\$ _____,000
<b>c. Retained Earnings.</b> What were retained earnings?	\$ _____,000
<b>d. Owner equity.</b> What was owner equity other than retained earnings?	\$ _____,000
<b>e. Sum of current liabilities, long-term debt, retained earnings and owner equity.</b> If this does not equal Question 61j explain why in the Comments section on Page 3-12.	\$ _____,000

**REVENUE INFORMATION**

Questions 62 through 66 request information on the revenues generated at the business entity for 1995, 1996, and 1997. If the business entity was not in operation for a particular year, check the box for that year and leave the appropriate column blank. **Report amounts in dollars; round to the nearest thousand.**

	1995 (\$) Not in Operation.....G (Leave column blank)	1996 (\$) Not in Operation.....G (Leave column blank)	1997 (\$) Not in Operation.....G (Leave column blank)
G CBI			
<b>62. What were the iron and steel net sales/revenues at this business entity?</b>	\$ _____,000	\$ _____,000	\$ _____,000
G CBI			
<b>63. What were the revenues from coke sales?</b>	\$ _____,000	\$ _____,000	\$ _____,000
G CBI			
<b>64. What were the revenues from coke by-product sales?</b>	\$ _____,000	\$ _____,000	\$ _____,000
G CBI			
<b>65. Other revenues.</b> What were revenues from all other sources? Include interest earnings.	\$ _____,000	\$ _____,000	\$ _____,000
G CBI			
<b>66. Total revenues.</b> What were total revenues? This value should equal the sum of Questions 62 through 65.	\$ _____,000	\$ _____,000	\$ _____,000

Check box if data are best estimates ..... **G**

**COST INFORMATION**

Questions 67 through 70 request information on 1995, 1996, and 1997 costs for the business entity's total operations. If the business entity was not in operation for a particular year, check the box for that year and leave the appropriate column blank. **Report amounts in dollars; round to the nearest thousand.**

Cost Information	1995 (\$) Not in Operation.....G (Leave column blank)	1996 (\$) Not in Operation.....G (Leave column blank)	1997 (\$) Not in Operation.....G (Leave column blank)
G <b>CBI</b>			
<b>67.</b> Cost of Goods Sold	\$ _____,000	\$ _____,000	\$ _____,000
G <b>CBI</b>			
<b>68.</b> Sales, General, and Administrative Costs	\$ _____,000	\$ _____,000	\$ _____,000
G <b>CBI</b>			
<b>69.</b> Depreciation and Amortization	\$ _____,000	\$ _____,000	\$ _____,000
G <b>CBI</b>			
<b>70.</b> Total Costs and Expenses (sum of Questions 67 through 69)	\$ _____,000	\$ _____,000	\$ _____,000

**Check box if data are best estimates** ..... **G**

**FINANCIAL STATEMENT INFORMATION**

71. Provide income statement information on the business entity's finances for 1995, 1996, and 1997. If the business entity was not in operation for a particular year, check the box for that year and leave the appropriate column blank. **Report amounts in dollars; round to the nearest thousand.**

<b>G CBI</b>			
<b>71. Financial Income Statement</b>			
	<b>1995 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>	<b>1996 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>	<b>1997 (\$)</b> <b>Not in Operation.....G</b> <b>(Leave column blank)</b>
<b>Earnings and Net Income</b>			
<b>a. Earnings before interest and taxes.</b> What were earnings before interest and taxes? This should equal Question 66 minus Question 70.	\$ _____,000	\$ _____,000	\$ _____,000
<b>b. Interest expenses.</b> What were interest expenses for the business entity?	\$ _____,000	\$ _____,000	\$ _____,000
<b>c. Income tax.</b> What were federal, state, and local income taxes?	\$ _____,000	\$ _____,000	\$ _____,000
<b>d. Extraordinary items.</b> Describe in Comments section on Page 3-12.	\$ _____,000	\$ _____,000	\$ _____,000
<b>e. Net income.</b> What was net income? If this is not equivalent to the difference between <b>a</b> and the sum of <b>b</b> through <b>d</b> , please explain in the Comments section on Page 3-12.	\$ _____,000	\$ _____,000	\$ _____,000

**MARKET VALUE OF EQUITY**

G **CBI 72.** If you checked C, D, or E in Question 8 and you checked B in Question 10,

What was the number of shares outstanding at the close of fiscal year 1997 (all classes) .....

What was the market price per share (weighted average if more than one class of stock) at the close of fiscal year 1997 ..... \$.....

Checked A, B, or F in Question 8 and/or checked C in Question 10 ..... **G**

**EMPLOYMENT**

G **CBI 73.** Please list the average number of employees (full- and part-time) at this business entity for **fiscal year 1997**.

Employment Type	Average Number of Employees
Total business entity employment (part-time and full-time)	_____

**BUSINESS ENTITY FINANCIAL STATEMENTS**

G **CBI 74.** If you checked hierarchy type C, D, or E for Question 8, Page 1-3, include copies of this business entity's end-of-year financial statements for 1995, 1996, and 1997 with your completed questionnaire. These may be accountant reports, annual reports, and/or 10-K forms, and **MUST** include both an income statement and balance sheets for the business entity. These statements need not be audited but should conform to generally accepted accounting principles (GAAP). In all cases, **INCLUDE THE NOTES TO THE FINANCIAL STATEMENTS**.

In the table below, please indicate with a check the type of statement included.

1995 ✓	1996 ✓	1997 ✓	Financial Statement
			Accountant Report
			Annual Report
			10-K Form
			Other (please describe)
			_____
			_____

**IF YOU CHECKED A or B IN QUESTION 8 (PAGE 1-3), PLEASE PROCEED TO SECTION 4.**

**IF YOU CHECKED C, D, or E IN QUESTION 8 (PAGE 1-3), YOU HAVE COMPLETED PART B OF THE QUESTIONNAIRE. DO NOT PROCEED TO SECTION 4. MAKE SURE YOU HAVE COMPLETED AND SIGNED THE CERTIFICATION FORM (PAGE iii) AND RETURN THIS QUESTIONNAIRE AND ALL ADDITIONAL INFORMATION TO EPA.**





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## SECTION 4

### CORPORATE PARENT FINANCIAL INFORMATION

The purpose of Section 4 is to collect financial information about the corporate parent that owns the business entity identified in Section 3. (Refer to the Corporate Hierarchy chart on Page 1-4.)

Answer the questions in sequence, and do not leave any blank entries unless instructed otherwise. Pay close attention to the specific instructions accompanying each question, and be sure that your answers are given in the appropriate units. Definitions begin on Page vi. Use the Comments section on Page 4-4 to record any assumptions or explanations needed to understand your answers. Reference each comment with the appropriate question and page number.

Call the helpline at 1-888-308-9455 or e-mail the helpline at steel\_partb@erg.com if you have any questions or comments concerning the survey or your response to a specific question. The helpline operates between 9:00 AM and 5:00 PM Eastern Standard Time, Monday through Friday.

#### CORPORATE PARENT GENERAL INFORMATION

**G CBI 75.** a. Is this information supplied with another questionnaire?

Yes ..... G

No ..... G

b. If the answer to the above is yes, what is the Survey ID Number of the questionnaire with the relevant corporate parent information?

\_\_\_\_\_

If "a" is "yes," "b" has been completed, and the survey identified in "b" has been returned to EPA, you do not need to complete Section 4.

**G CBI 76.** What is the corporate parent's DUNS number?

(If the corporate parent does not have a DUNS number, circle the response code for "not applicable.")

DUNS number: GG-GGGG-GGGG

Not applicable: 00

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**G CBI 77.** What is the name and mailing address of the corporate parent?

**a.** Name of corporate parent \_\_\_\_\_

**b.** Mailing address or P.O. box \_\_\_\_\_

**c.** City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

**G CBI 78.** List the primary and secondary 4-digit Standard Industrial Classification (SIC) codes assigned to the corporate parent. (See Definitions beginning on Page vi.)

**a.** Primary SIC code ..... \_\_\_\_\_

**b.** Secondary SIC codes ..... \_\_\_\_\_

..... \_\_\_\_\_

..... \_\_\_\_\_

**G CBI 79.** In what year did the corporate parent purchase or otherwise gain control of the business entity described in Section 3?

Year ..... 19\_\_

**G CBI 80.** Check the organization type that best describes the **corporate parent**. The corporate hierarchy chart on Page 1-4 shows corporate parents on the top row (level one).

**a.** Corporation (C Corporation) ..... G

**b.** Subchapter S corporation ..... G

**c.** Limited partnership ..... G

**d.** General partnership ..... G

**e.** Sole proprietor ..... G

**f.** Other (please describe) ..... G

\_\_\_\_\_

\_\_\_\_\_

**G CBI 81.** Is the business entity privately or publicly held?

**a.** Private ..... G

**b.** Public ..... G

**MARKET VALUE OF EQUITY**

G **CBI 82.** If you checked A or B in Question 8 and you checked B in Question 10,

What was the number of shares outstanding at the close of fiscal year 1997 (all classes) .....

What was the market price per share (weighted average if more than one class of stock) at the close of fiscal year 1997 ..... \$.....

Checked C, D, E, or F in Question 8 and/or checked C in Question 10 ..... **G**

**EMPLOYMENT**

G **CBI 83.** Please list the total number of employees for the corporate parent in fiscal year 1997 .....

**CORPORATE PARENT FINANCIAL STATEMENTS**

G **CBI 84.** Include copies of the corporate parent's end-of-year financial statements for 1995, 1996, and 1997 with your completed questionnaire. These may be accountant reports, annual reports, and/or 10-K forms, and **MUST** include both an income statement and balance sheets for the business entity. These statements need not be audited but should conform to generally accepted accounting principles (GAAP). In all cases, **INCLUDE THE NOTES TO THE FINANCIAL STATEMENTS.**

In the table below, please indicate with a check the type of statement included.

1995 √	1996 √	1997 √	Financial Statement
			Accountant Report
			Annual Report
			10-K Form
			Other (please describe)
			_____
			_____



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**APPENDIX A**

**PRODUCT CATEGORIES AND CODES**

The product category codes to be used in the survey are given in the first numerical column. The survey categories follow categories established by the U.S. Department of Commerce, Bureau of the Census, for its Annual Survey of Manufactures and Current Industrial Reports survey. For reference purposes, the Bureau of Census codes are given in the two right-hand columns.

Product Category	EPA Survey Code	Bureau of the Census	
		Annual Survey of Manufactures	Current Industrial Reports
		Form MA-1000 Code	Form MA33B Code
<b>COKE</b>	10		3312113, 3312115
<b>COKE BY-PRODUCTS</b>			
Coke breeze and screenings	20		3312114, 3312116
Coke oven gas	21		
Crude coal tar	22		3312152, 3312153
Crude light oil	23		3312172, 3312173
Ammonia products	24		
Other by-products (includes tar derivatives and light oil derivations)	25		
<b>CARBON STEEL</b>			
Ingots, bloom, billets, sheet bars, tin mill bars, tube rounds, skelp, slabs	30	1110, 1210, 1245	3312211, 3312213, 3312220
Wire rods	31	1230	3312219
Structural shapes (wide flange and standard heavy shapes), sheet piling and bearing piles	32	1506, 1508, 1512	3312415, 3312417, 3312418
Plate (cut lengths and coils)	33	1313, 1314	3312413, 3312414
Rails, wheels, and track accessories	34	1571, 1586, 1591, 1601, 1606, 1611, 1616	3312C-
Bars (hot rolled, except concrete reinforcing, and light structurals under 3 inches)	35	1516, 1521	3312422, 3312424
Bars (concrete reinforcing)	36	1546	3312426
Bars (cold rolled)	37	1551	3316811

Product Category	EPA Survey Code	Bureau of the Census	
		Annual Survey of Manufactures	Current Industrial Reports
		Form MA-1000 Code	Form MA33B Code
Pipe (structural and miscellaneous, including standard pipe)	38	1691, 1696	3317027, 3317029
Pipe (oil country goods)	39	1646	3317019
Pipe (line)	40	1636, 1641	3317014, 3317015
Pipe (mechanical and pressure)	41	1651, 1666, 1671, 1686	3317021 through 3317024
Wire	42	1741 through 1746, 1763, 1764, 1766, 1767, 1768, 1771, 1773, 1777, 1779, 1781, 1783, 1784, 1786, 1889	3315501 through 3315506, 3315513 through 3315515, 3315517, 3315518, 3315521. 3315221, 3315951, 3315621, 3315955, 3315113, 3315133, 3315135, 3315771
Tin mill products	43	1420, 1430, 1445, 1450	3312324, 3312326, 3312328, 3312329
Sheet and strip (hot rolled)	44	1323	3312311, 3312319
Sheet and strip (cold rolled)	45	1324	3316711, 3316715
Sheet and strip (galvanized-hot dipped)	46	1355	3312313
Sheet and strip (galvanized-electrolytic)	47	1360	3312315
Sheet and strip (all other metallic coated, including long ternes)	48	1385	3312318
Sheet and strip (electrical)	49	1370	3312317

Product Category	EPA Survey Code	Bureau of the Census	
		Annual Survey of Manufactures	Current Industrial Reports
		Form MA-1000 Code	Form MA33B Code
<b>ALLOY STEEL</b>			
Ingot, blooms, billets, sheet bars, tin mill bars, tube rounds, skelp, slabs	50	2110, 2237, 2241	3312231, 3312237, 3312241
Wire rods	51	2239	3312239
Plates (cut length and coils) and structural shapes (3 inches and under)	52	2314, 2316, 2318	3312433, 3312436, 3312438
Bars (hot rolled)	53	2520	3312441
Bars (cold finished)	54	2525	3316831
Tool steel	55	2530, 2535	3312448, 3312449
Pipe (miscellaneous, including standard and structural)	56	2649	3317048
Pipe (oil country goods)	57	2641	3317032
Pipe (mechanical and pressure)	58	2643, 2646	3317043, 3317045
Wire	59	2707	3315537
Sheet and strip (hot rolled)	60	2321, 2391	3312331, 3312339
Sheet and strip (cold rolled and finished)	61	2327, 2393	3316731, 3316735
Sheet and strip (galvanized, hot dipped)	62	2333	3312335
Sheet and strip (all other metallic coated, including electrolytic)	63	2375	3312337

Product Category	EPA Survey Code	Bureau of the Census	
		Annual Survey of Manufactures	Current Industrial Reports
		Form MA-1000 Code	Form MA33B Code
<b>STAINLESS STEEL</b>			
Ingots, blooms, billets, sheet bars, tin mill bars, tube rounds, skelp, slabs	70	3110, 3220	3312251, 3312256
Wire rods	71	3225	3312259
Plates and structurals	72	3320	3312453
Bars (hot rolled)	73	3525	3312461
Bars (cold rolled)	74	3550	3316851
Pipe (mechanical, pressure, and other)	75	3610, 3620, 3630, 3640, 3660	3317061 through 3317065
Wire (round and other shape)	76	3710, 3720, 3730, 3750	3315552, 3315553, 3315554, 3315557
Sheet and strip (hot rolled)	77	3335	3312357
Sheet and strip (cold rolled)	78	3339	3316757